

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : William Scott Rollins	Art Unit :
Serial No.:	Examiner :
Filed : August 18, 2003	Docket No.: 13658/62109C
Title : High Power Density Combined Cycle Power Plant Process	

Mail Stop PATENT APPLICATION
Assistant Commissioner for Patents
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT
UNDER 37 CFR 1.97 and 1.98

Dear Sir:

CONTENT OF INFORMATION DISCLOSURE STATEMENT - 37 CFR 1.98

Pursuant to 37 CFR 1.98(d), copies of the patents, publications, applications, or other information listed on the attached PTO Form 1449 are not provided because they were previously submitted to, or cited by, the office in an earlier application Serial No. 09/783,693, which is relied on for an earlier effective filing date under 35 U.S.C. 120.

FILING OF INFORMATION DISCLOSURE STATEMENT - 37 CFR 1.97

Filed Under 37 CFR 1.97(b)

[x] Pursuant to 37 CFR 1.97(b), this Information Disclosure Statement is being filed within three months of the filing date of the above identified application, within three months of the entry of the national stage of the above identified application, or before the mailing date of the first office action on the merits. Accordingly, applicant(s) submits that no fee or certification is required.

Filed Under 37 CFR 1.97(c)

[] Pursuant to 37 CFR 1.97(c), this Information Disclosure Statement is being filed after the period specified in 37 CFR 1.97(b) and before the mailing date of any of a final action, a notice of allowance, or an action that otherwise closes prosecution in the application.

Accordingly, applicant(s) submits either a Statement Under 37 CFR 1.97(e) or the fee set forth in 37 CFR 1.17(p), as indicated below.

Filed Under 37 CFR 1.97(d)

[] Pursuant to 37 CFR 1.97(d), this Information Disclosure Statement is being filed after the period specified under 37 CFR 1.97(c) and on or before payment of the issue fee. Accordingly, applicant(s) submits both a Statement Under 37 CFR 1.97(e) and the fee set forth in 37 CFR 1.17(p), as indicated below.

STATEMENT UNDER 37 CFR 1.97(e)

(check one)

[] The undersigned submits that each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement.

[] The undersigned submits that no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in §1.56(c) more than three months prior to the filing of the information disclosure statement.

FEE SET FORTH IN 37 CFR 1.17(p)

[] Please charge deposit account number 04-0932 (Reference Number [INSERT CLIENT/MATTER NUMBER]), in the amount of \$180.00 to cover the information disclosure statement fee under 37 CFR §1.17(p).

The Commissioner is hereby authorized to charge payment of any additional fees associated with this communication or credit any overpayment to Deposit Account No. 04-0932 (Reference Number 13658/62109C).

Respectfully submitted,

Date: 8-18-03

By: 
Kevin J. Carroll, Reg. No. 36,384

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Substitute for form 1449AIPTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)				Complete If Known	
		Application Number			
		Filing Date			
		First Named Inventor		William Scott Rollins III	
		Group Art Unit			
		Examiner Name			
		Attorney Docket Number			
Sheet	1	1	6		

U.S. PATENT DOCUMENTS						
Initials* Examiner	No. Cite	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (if known)			
	1	3,675,426		Vidal, et. al.	07-11-1972	
	2	3,879,616		Baker, et. al.	04-22-1975	
	3	4,201,924		Uram	05-06-1980	
	4	4,253,300		Willyoung	03-03-1981	
	5	4,333,310		Uram	06-08-1982	
	6	4,578,944		Martens, et. al.	04-01-1986	
	7	4,627,386		Duffy, et. al.	12-09-1986	
	8	4,896,496		Zervos	01-30-1990	
	9	5,269,130		Finckh, et. al.	12-14-1993	
	10	5,369,950		Brickner, et. al.	12-06-1994	
	11	5,375,410		Briesch, et. al.	12-27-1994	
	12	5,428,950		Tomlinson	07-04-1995	
	13	5,442,908		Briesch, et. al.	08-22-1995	
	14	5,628,183		Rice	05-13-1997	
	15	5,642,614		Bozzuto, et. al.	07-01-1997	
	16	5,647,199		Smith	07-15-1997	
	17	5,649,416		Moore	07-22-1997	
	18	5,669,220		Rachid	09-23-1997	
	19	5,724,807		Schuetzenduebel, et. al.	03-10-1998	

FOREIGN PATENT DOCUMENTS								
Examiner Initials*	No. Cite	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines Where Relevant Passages or Relevant Figures Appear	TS
		Office ³	Number ²	Kind Code ² (if known)				

Examiner Signature	Date Considered
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* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Unique citation designation number. ² See attached Kinds of U.S. Patent Documents. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231

Complete If Known

Application Number

Filing Date

First Named Inventor

William Scott Rollins III

Group Art Unit

Examiner Name

Attorney Docket Number

Sheet

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of

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Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i>				Complete if Known	
				Application Number	
				Filing Date	
				First Named Inventor	William Scott Rollins
				Group Art Unit	
				Examiner Name	
Sheet	3	of	6	Attorney Docket Number	

[illegible][illegible]

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Substitute for form 1449B/PTO			Complete if Known		
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)			Application Number		
			Filing Date		
			First Named Inventor	William Scott Rollins III	
			Group Art Unit		
			Examiner Name		
Sheet	4	of	6	Attorney Docket Number	

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS			
Examiner Initials	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	
	29	JAMES S. WRIGHT, General Electric Company (GE) Power Systems "Steam Turbine Cycle Optimization, Evaluation, and Performance Testing Considerations" GE Power Systems, Building 2, Room 115B, One River Road, Schenectady, NY 12345 (GE Reference GER-3642E, 1996)	
	30	JOHN K. REINKER, PAUL B. MASON, General Electric Company (GE) Power Systems "Steam Turbines for Large Power Applications" GE Power Systems, Building 2, Room 115B, One River Road, Schenectady, NY 12345 (GE Reference GER-3646D, 1996)	
	31	FRANK J. BROOKS, General Electric Company (GE) Power Systems "GE Heavy-Duty Gas Turbine Performance Characteristics" GE Power Systems, Building 2, Room 115B, One River Road, Schenectady, NY 12345 (GE Reference GER-3567G, 1996)	
	32	DAVID L. CHASE, LEROY O. TOMLINSON, THOMAS L. DAVIDSON, RAUB W. SMITH, CHRIS E. MASLAK General Electric Company (GE) Power Systems, "GE Combined-Cycle Product Line and Performance", Table 14 GE Power Systems, Building 2, Room 115B, One River Road, Schenectady, NY 12345 (GE Reference GER-3574F, 1996)	
	33	M. BOSS, General Electric Company (GE) Power Systems "Steam Turbines for STAG(TM) Combined Cycle Power Systems" GE Power Systems, Building 2, Room 115B, One River Road, Schenectady, NY 12345 (GE Reference GER-3582E, 1996)	
	34	KLAUS M. RETZLAFF, W. ANTHONY RUEGGER, General Electric Company (GE) Power Systems "Steam Turbines for Ultrasupercritical Power Plants" GE Power Systems, Building 2, Room 115B, One River Road, Schenectady, NY 12345 (GE Reference GER-3945, 1996)	
	35	CAROLANN GIOVANDO. "Explore Opportunities from Today's Steam Turbine", http://www.powermag.com POWER MAGAZINE, Volume 142, Number 4 (ISSN 0032-5929, July/August 1998, pages 28-39)	
	36	"Dash for Gas Turbines: Prudent Planning or Speculative Bubble?", http://www.powermag.com POWER MAGAZINE, Volume 143, Number 2 (ISSN 0032-5929, March/April 1999, pages 13-15)	
	37	"Combined Cycle Plant Specifications" International Turbomachinery Handbook 97 Turbomachinery Publications, Volume 38, Number 6 (ISSN 0149-4147, 1997, pages 140-147)	
	38	Energy Information Administration, Office of Integrated Analysis and Forecasting U.S. Department of Energy, Washington, D.C. 20585 "Electricity Prices in a Competitive Environment: Marginal Cost Pricing of Generation Services and Financial Status of Electric Utilities - A Preliminary Analysis Through 2015" U.S. Department of Energy document DOE/EIA-0614, Distribution Category UC-950, August 1997	
	39	Energy Information Administration, Office of Coal, Nuclear, Electric and Alternate Fuels U.S. Department of Energy, Washington, D.C. 20585-0650 "Electric Power Annual 1997 - Volume II" U.S. Department of Energy document DOE/EIA-0348(97)/2, Distribution Category UC-950, October 1998	

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		Examiner Name	
Sheet 5 of 6	Attorney Docket Number		

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS			
Examiner Initials	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T2
	40	JONATHAN S. MARTEL "ENVIRONMENTAL 'New Source' Scrutiny" The National Law Journal, page B6, August 23, 1999	
	41	JOHN D. MOUNTFORD and RICARDO R. AUSTRIA "Keeping the Lights On!" IEEE Spectrum, pages 34-39, (ISSN 0018-9235, June 1999)	
	42	CARSON W. TAYLOR "Improving Grid Behavior" IEEE Spectrum, pages 40-45, (ISSN 0018-9235, June 1999)	
	43	DAVID A. JONES & RONALD L. SKELTON "The Next Threat to Grid Reliability - DATA SECURITY" IEEE Spectrum, pages 46-48, (ISSN 0018-9235, June 1999)	
	44	Energy Information Administration, Office of Coal, Nuclear, Electric and Alternate Fuels U.S. Department of Energy, Washington, D.C. 20585-0650 "State Electricity Profiles" U.S. Department of Energy document DOE/EIA-0629, Distribution Category UC-950, February 1999	

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Sheet	6	of	6
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	45	WILLIAM SWEET & ELIZABETH A. BRETZ. "Toward Carbon-Free Energy". IEEE Spectrum Magazine, Vol. 36, No. 11, pages 28-33 (ISSN 0018-9235, www.spectrum.ieee.org, Nov.1999)	
	46	MARLOWE HOOD & WILLIAM SWEET. "Energy Policy and Politics in China". IEEE Spectrum Magazine, Vol. 36, No. 11, pages 34-38 (ISSN 0018-9235, www.spectrum.ieee.org, Nov.1999)	
	47	WILLIAM SWEET & MARLOWE HOOD. "Can China Consume Less Coal?". IEEE Spectrum Magazine, Vol. 36, No. 11, pages 39-47 (ISSN 0018-9235, www.spectrum.ieee.org, Nov.1999)	
	48	ELIZABETH A. BRETZ & VIR SINGH. "India's Power Struggles". IEEE Spectrum Magazine, Vol. 36, No. 11, pages 47-56 (ISSN 0018-9235, www.spectrum.ieee.org, Nov.1999)	
	49	SUSAN E. AVERY. "The Electricity Market - Competition Brings More Options", Plants Sites & Parks Magazine, pages 20-24 (August/September 1999)	

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